

**PENNIE & EDMONDS LLP**  
 COUNSELLORS AT LAW  
 3300 Hillview Avenue  
 Palo Alto, CA 94304  
 (650) 493-4935

RECEIVED  
 FEB - 5 2001  
 TECHNOLOGY CENTER 2800

ATTORNEY DOCKET NO. 9775-0031-999Date: March 8, 2000

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231



Sir:

The following utility patent application is enclosed for filing:

Applicant(s): LEWIS B. ARONSON and DANIEL S. KANE

Executed on: March 7, 2000

Title of Invention: FIBER OPTIC LASER TRANSMITTER WITH REDUCED NEAR END REFLECTIONS

**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	23	-20	3	\$18.00 each	\$ 54.00
Independent	2	-3	0	\$78.00 each	\$ 0.00
Minimum Fee					\$ 690.00
Multiple Dependency Fee If Applicable (\$260.00)					\$ 0.00
<b>Total</b>					\$ 744.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					\$ 372.00
<b>Total Filing Fee</b>					\$ 372.00

**Also enclosed are:**

- XX 6 sheets of formal drawings;
- XX Declaration;
- XX Assignment and PTO Form 1595;
- XX Power of Attorney by Assignee; and
- XX Verified Statement Claiming Small Entity.

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150 (9775-0031-999). A copy of this sheet is enclosed for such purpose.

Respectfully submitted,

Gary S. Williams  
 PENNIE & EDMONDS LLP

31,066  
 (Reg. No.)

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.

RECEIVED  
FEB -5 2002  
TECHNOLOGY CENTER 2800



899B

Express Mail No. EL 451 593 649 US **BOX PATENT APPLICATION**  
Date Mailed MARCH 8, 2000 First Class Mail ( )  
Ser. No. \_\_\_\_\_ Filed \_\_\_\_\_  
Inventor LEWIS B. ARONSON & DANIEL S. KANE  
For FIBER OPTIC LASER TRANSMITTER WITH REDUCED NEAR END REFLECTIONS

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Affidavit/Declaration                            | <input type="checkbox"/> Fee Address Indication Form                       |
| <input type="checkbox"/> Amendment   | <input checked="" type="checkbox"/> Fee Calculation for PATENT APPLICATION |
| <input checked="" type="checkbox"/> Application <u>15</u> Pages                      | <input type="checkbox"/> Issue Fee Transmittal                             |
| <input checked="" type="checkbox"/> <u>23</u> Claims <u>6</u> Drawings sheets/formal | <input type="checkbox"/> Letter  |
| <input type="checkbox"/> Appeal, Notice of   | <input type="checkbox"/> Oral Hearing Req./Confirm.                        |
| <input checked="" type="checkbox"/> Assignment & PTO 1595                            | <input type="checkbox"/> Petition to Extend Time                           |
| <input type="checkbox"/> Brief (in triplicate)                                       | <input type="checkbox"/> Pet. under 37 C.F.R.                              |
| <input type="checkbox"/> Declaration & Power of Attorney                             | <input checked="" type="checkbox"/> Power of Attorney by Assignee          |
| <input type="checkbox"/> Design Application  | ____ Associate ____ w/Revocation   |
| <input type="checkbox"/> Disclaimer  | <input type="checkbox"/> Sequence Listing w/Computer                       |
| <input type="checkbox"/> Disclosure Statement  | Readable and Paper Copies  |
| <input type="checkbox"/> w/refs. <input type="checkbox"/> w/o refs.                  | <input checked="" type="checkbox"/> Small Entity Statement -SM. BUSINESS   |
| <input type="checkbox"/> Drawings Formal   | <input type="checkbox"/> Status Letter                                     |
| ____ Sheets ____ Figures   | <input type="checkbox"/> Transmittal Letter                                |

JC553 U.S. PTO

09/521639



03/08/00

Other: \_\_\_\_\_  
File No. 9775-0031-999 Sender: GSW:1j

## FORMALITIES LETTER



\*OC00000005111769\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/521,639	03/08/2000	Lewis B Aronson	9775-0031-999

Gary S Williams  
Pennie & Edmonds LLP  
3300 Hillview Avenue  
Palo Alto, CA 94303

Date Mailed: 05/12/2000



## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$.  
    ■ \$54 for 3 total claims over 20.
- Late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 was not received.
- The balance due by applicant is \$ 874.

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

10/10/2001 SDIRETA1 00000022 161150 09521639

01 FC:201  
02 FC:203370.00 CH  
27.00 CH

## REPLACEMENT FILING RECEIPT



\*OC00000000511773\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/521,639 ✓	03/08/2000 ✓	2874	0	9775-0031-999 ✓	6	23	2

Gary S Williams  
Pennie & Edmonds LLP  
3300 Hillview Avenue  
Palo Alto, CA 94303RECEIVED  
PENNIE & EDMONDS  
MAY 30 2000  
GSW-289B  
CA OFFICE

Date Mailed: 05/12/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Lewis B Aronson, Los Altos, CA ;  
Daniel S Kane, San Francisco, CA ;

6/8/00 - DISCL.

11/8/00 - FOR FIL CALUP

2/8/01 - 11 MO CYX CALUP

3/8/01 - CYX FINAL DATE

9/8/01 - CK FOR 1ST O.A.

## Continuing Data as Claimed by Applicant

## Foreign Applications

## Title

Fiber optic laser transmitter with reduced near end reflections ✓

## Preliminary Class

385

Data entry by : BLIZZARD, SHARON

Team : OIPE

Date: 05/12/2000



**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231